

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Hiroshi TAKENO : **Mail Stop: PCT**
Serial No. NEW : Attorney Docket No. 2004_1129A
Filed July 16, 2004 :

SILICON EPITAXIAL WAFER AND PROCESS
FOR MANUFACTURING THE SAME
[Corresponding to PCT/JP03/00345
Filed January 17, 2003]

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicant requests consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☐ each U.S. Patent and U.S. Patent application publication (*for U.S. National applications filed after June 30, 2003 and International applications that have entered U.S. National Stage after June 30, 2003*),
- ☒ each reference previously cited in the international application PCT/JP03/00345 and/or
- ☐ each reference previously cited in prior parent application Serial No. _____

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☒ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☐ the concise explanation contained in the specification of the present application at page,
 - d. ☐ the concise explanation set forth in the attached English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Hiroshi TAKENO

By

Warren M. Cheek, Jr.
Warren M. Cheek, Jr.
Registration No. 33,367
Attorney for Applicant

WMC/dlk
Washington, D.C. 20006-1021
Telephone (202) 721-8200
Facsimile (202) 721-8250
July 16, 2004

FORM PTO 1449 (modified)

ATTY DOCKET NO.
2004_1129A

NO 10/501672

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)APPLICANT
Hiroshi TAKENOFILING DATE
July 16, 2004

GROUP

Date Submitted to PTO: July 16, 2004

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	2001/0006039	7/2001	Cho et al.	117	13	
	AB	6,206,961	3/2001	Takeno et al.	117	20	Corresponds to Ref AN
	AC						
	AD						
	AE						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AF	2001-274167	10/2001	JP			Abstract
	AG	2001-237247	8/2001	JP			Abstract
	AH	10-270455	10/1998	JP			Abstract
	AI	2001-210650	8/2001	JP			Corresponds to Ref AA
	AJ	1 069 214	1/2001	EP			
	AK	2000-219598	8/2000	JP			Corresponds to Ref AJ
	AL	00/46433	8/2000	WO			Corresponds to Ref AJ
	AM	11-21200	1/1999	JP			
	AN	0 917 192	5/1999	EP			
	AO	11-147789	6/1999	JP			Corresponds to Ref AN

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AP	
	AQ	

EXAMINER

DATE CONSIDERED